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Label No.:

Application Number	10/796,435
Filing Date	March 9, 2004
First Named Inventor	Surajit Chaudhuri
Group Art Unit	2171
Examiner Name	N/A
Attorney Docket Number	301559.01

ENCLOSURES *(check all that apply)*

☐ Fee Transmittal Form
  ☐ Fee Attached

☐ Amendment / Reply
  ☐ After Final
  ☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement with Form PTO/SB/08A (3 pages)

☐ Response to Notice to File Missing Parts
  ☐ A copy of the Notice to File Missing Parts Under 37 CFR 1.52 or 1.5

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(Under 37 CFR § 1.8(a))
I hereby certify that this correspondence is being:

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March 21, 2005
Date

Signature *(Paul Heynssens)*

Paul Heynssens
Printed Name

☒ Assignment Papers (8 pages)

☐ Drawing(s) (sheets)

☐ Declaration
  ☐ Newly Executed (pages)
  ☐ A copy from a prior application (37 CFR 1.63(d)) (pages)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☒ General Power of Attorney (SB80)
  ☒ 37 CFR 3.73(b) Statement

☐ Terminal Disclaimer

☐ Request for Refund

☒ CD, Number of CD(s) 1(includes cited references)

☐ After Allowance Communication to TC

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☐ Application Data Sheet

☐ Request for Corrected Filing Receipt

☒ Return Receipt Postcard

☐ Other Enclosure(s) *(please identify below)*:
  ☐
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Remarks ☒ The Commissioner is hereby authorized to charge any additional fees required, or credit any overpayments, to Deposit Account No. 50-0463 for the above identified patent application.

SIGNATURE OF ATTORNEY OR AGENT

Signature	*(Paul Heynssens)*	Reg. No.	47,648		
Name of Attorney or Agent		Paul Heynssens			
Date	March 21, 2005	Tel.	(425) 707-3913	Facsimile No.	(425) 708-5046
Assignee Name:		MICROSOFT CORPORATION ONE MICROSOFT WAY REDMOND, WA 98052			
Customer Number:		22971			
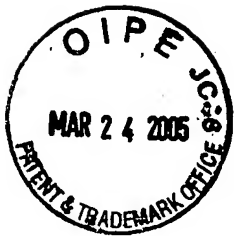
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: Surajit Chaudhuri   Attorney Docket No.: 301559.01

Application No.: 10/796,435   Group Art Unit: 2171

Filed: 03/09/2004   Examiner: N/A

Customer No.: 22971   Confirmation Number: 1860

Title: TRANSFORMATION TOOL FOR MAPPING XML TO RELATIONAL DATABASE

Commissioner for Patents
Mail Stop Amendment
P.O. Box 1450
Alexandria VA 22313-1450

STATEMENT FILED PURSUANT TO
THE DUTY OF DISCLOSURE UNDER 37 C.F.R. §§ 1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. § 1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case. No fee or certification is required.

PART II: Remarks

The Applicant hereby makes of record in the above-identified application the information listed on the attached forms PTO/SB/08A and 08B. The order of presentation of the references should not be construed as an indication of the importance of the references. Documents cited on the attached forms PTO/SB/08A and 08B are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;

2. The enclosed form PTO/SB/08A be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;

3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. § 102.

Notwithstanding any statement by the Applicant, the Applicant urges the Examiner to

form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,
Microsoft Corporation, Applicant

By: _____
Paul Heynssens, Reg. No. 47,648
Microsoft Corporation Redmond,
Washington
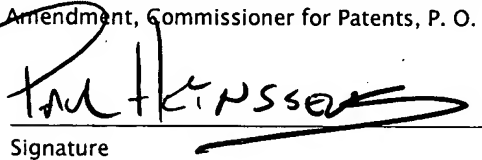Telephone (425) 707-3913

Dated: <u>March 21, 2005</u>

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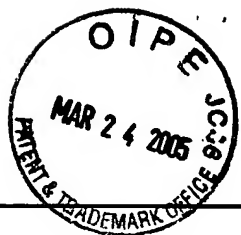Box 1450, Alexandria, VA 22313-1450

<u>March 21, 2005</u>
Date

Signature

<u>Paul Heynssens</u>
Type or Print Name

Substitute for form 1449/PTO	Title Of Invention	Transformation Tool for Mapping XML to Relational Database
INFORMATION DISCLOSURE STATEMENT BY APPLICANT *(use as many sheets as necessary)*	Application Number	10/796,435
	Filing Date	03/09/2004
	First Named Inventor	Surajit Chaudhuri
	Art Unit	
	Examiner Name	
Sheet 1 of 3	Attorney Docket Number	301559.01

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document — Number – Kind Code[2] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A	US–			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document — Country Code[3]Number[4]*(if known)* Kind Code[5]	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	B					

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.)., date, page(s), volume–issue number(s), publisher, city and/or country where published.	T[2]
	C	S. Agrawal, S. Chaudhuri, and V. R. Narasayya. *Automated Selection of Materialized Views and Indexes for SQL Databases.* In VLDB, 2000.	
	D	S. Banerjee, V. Krishnamurthy, M. Krishnaprasad, and R. Murthy. *Oracle8i – The XML Enabled Data Management System.* In ICDE, 2000.	
	E	P. Bohannon, J. Freire, P. Roy, and J. Simeon. *From XML Schema to Relations: A Cost–Based Approach to XML Storage.* In ICDE, 2002.	
	F	N. Bruno, N. Koudas, and D. Srivastava. *Holistic Twig Joins: Optimal XML Pattern Matching.* In SIGMOD, 2002.	

Examiner Signature		Date Considered	

*EXAMINER: Initial If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two–letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the Indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [6] Applicant is to place a check mark here If English language Translation is attached.

Information Disclosure Statement—PTO/SB/0 8a&b
Matter No.: 301559.01

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.)., date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	G	S. Chaudhuri and V. R. Narasayya. *An Efficient, Cost-Driven Index Selection Tool for Microsoft SQL Server.* In VLDB, 1997.	
	H	J. M. Cheng and J. Xu. *XML and DB2.* In ICDE, 1999.	
	I	V. Christophides, S. Abiteboul, S. Cluet, and M. Scholl. *From Structured Documents to Novel Query Facilities.* In SIGMOD, 1994.	
	J	A. Deutsch, M. F. Fernandez, and D. Suciu. *Storing Semistructured Data with STORED.* In SIGMOD, 1999.	
	K	M. F. Fernandez, A. Morishima, and D. Suciu. *Efficient Evaluation of XML Middle-ware Queries.* In SIGMOD, 2001.	
	L	D. Florescu and D. Kossmann. *Storing and Querying XML Data using an RDBMS.* IEEE Data Engineering Bulletin, 1999.	
	M	M. Klettke and H. Meyer. *XML and Object-Relational Database Systems - Enhancing Structural Mappings Based on Statistics.* In WebDB, 2000.	
	N	R. Krishnamurthy, V. T. Chakaravarthy, and J. F. Naughton. On the *Difficulty of Finding Optimal Relational Decompositions for XML Workloads: A Complexity Theoretic Perspective.* In IGDT, 2003.	
	O	A. Schmidt, M. L. Kersten, M. Windhouwer, and F. Waas. *Efficient Relational Storage and Retrieval of XML Documents.* In WebDB, 2000.	
	P	J. Shanmngasundaram, G. He, K. Tufte, C. Zhang, D. DeWitt, and J. Naughton. *Relational Databases for Querying XML Documents: Limitations and Opportunities.* In VLDB, 1999.	
	Q	J. Shanmugasundaram, E. J. Shekita, R. Barr, M. J. Carey; B. G. Lindsay, H. Pirahesh, and B. Reinwald. *Efficiently Publishing Relational Data as XML Documents.* In VLDB, 2000.	
	R	T. Shimura, M. Yoshikawa, and S. Uemnra. *Storage and Retrieval of XML Documents using Object-Relational Databases.* In DEXA, 1999.	

Examiner Signature		Date Considered	

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.)., date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	S	G. Valentin, M. Zuliani, D. C. Zilio, G. M. Lohman, and A. Skelley. *DB2 Advisor: An Optimizer Smart Enough to Recommend Its Own Indexes.* In ICDE, 2000.	
	T	H. Wang, S. Park, W. Fan, and P. S. Yu. *ViST: A Dynamic Index Method for Querying XML Data by Tree Structures.* In SIGMOD, 2003.	

Examiner Signature		Date Considered	

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